

SEMP COMPLIANCE QUESTIONNAIRE

Element 1: Leadership & Commitment

Date: _____

Organization Name: _____ Facility Name: _____

Additional Information about Auditee and Audit Site:

Auditors:

No.	Q. Code (F/P/B)	Questions and Expectations	Finding (C/N/NA)	Refs.	Observations
1	P	Has management taken effective steps in demonstrating their support for the organization's management program? Example Expectations: 1. Endorsement documents readily available to employees. 2. High level of management awareness of the program's goals and performance measures. 3. Clear understanding in management of functional and resource requirements for sustaining the program.		RP75, 1.1, 1.2.2.a., 1.2.2.b.	

Question Codes: F -- Facility Related; P -- Program Related; B -- Facility and Program Related.

Finding Codes: C -- Conforming; N -- Non-conforming; NA -- Not Applicable.

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2	P	<p>Is there a documented management program for the organization's operations that includes, as a minimum, all elements of API RP 75?</p> <p>Example Expectations:</p> <ol style="list-style-type: none"> 1. Verification that all elements are provided for in the management program. 2. Easy access by employees to the program materials. 		RP 75, 1.1, 1.2.2.b.	
3	B	<p>Has management issued a directive requiring all affected personnel to operate in accordance with the management program?</p> <p>Example Expectations:</p> <ol style="list-style-type: none"> 1. Confirmation that the management directive exists. 2. Awareness of the management directive at all applicable levels in the organization. 		RP 75, 1.1, 1.2.2.a.	
4	B	<p>Has management assigned management program authority, responsibility, and accountability throughout the organization's structure?</p> <p>Example Expectation:</p> <ol style="list-style-type: none"> 1. Evidence that specific management program functions are included in organizational responsibilities. 		RP 75, 1.2.2.a., 1.2.2.g.	

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5	B	<p>Do performance standards for responsible managers, supervisors, and other personnel include measures for the management program effectiveness?</p> <p>Example Expectations:</p> <ol style="list-style-type: none"> 1. Goals and objectives for organizational units that include specific safety and environmental management metrics. 2. Copies of performance standards with program measures. 3. Evidence of employee understanding of their level of responsibility. 		RP 75, 1.2.2.a.	
6	P	<p>Was employee input requested and considered in developing the elements of the organization's management program?</p> <p>Example Expectation:</p> <ol style="list-style-type: none"> 1. Interviews with managers and supervisors revealing collaboration of qualified personnel at different levels in the organization. 		RP 75, 1.2.2.c.	
7	P	<p>Has management instituted a system of periodic audits to ensure that the management program is up to date and operating effectively?</p> <p>Example Expectations:</p> <ol style="list-style-type: none"> 1. Auditing process conforming to RP 75, Section 12 in place and effective. 2. Verification of management's active role in ensuring effective resolution of audit issues. 		RP 75, 1.2.2.h.	

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8	P	<p>Does management have a system in place that ensures that its contractors have policies and practices consistent with the organization's management program?</p> <p>Example Expectations:</p> <ol style="list-style-type: none">1. Contractor management system requiring pre-employment screening and oversight of the contractor's environmental performance.2. Evaluation system requiring review of the contractor's safety and environmental management policies and practices.3. Evidence that contractor employees are aware of safety and environmental management policies.		RP 75, 1.1	

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